

12/18/00
jc665 U.S. PTO

PATENT
ATTORNEY DOCKET NO.: 051672-5001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents
BOX PATENT APPLICATION
Washington, D.C. 20231

jc914 U.S. PTO
09/737595
12/18/00

**TRANSMITTAL FOR A NEWLY EXECUTED
ORIGINAL APPLICATION UNDER 37 C.F.R. § 1.53(b)**

This is a request for filing a patent application under 37 C.F.R. § 1.53(b) for:

Eugene FINK, Ganesh MANI, Dwight E. DIETRICH, Joshua M. JOHNSON,
Steven V. FISCHETTI, and Jaime G. CARBONELL

For: METHOD AND SYSTEM FOR MULTI-DIMENSIONAL TRADING

1. This is a new ☒ **Utility** ☐ **Design** ☐ **Plant** patent application.
2. The papers enclosed to obtain a filing date are as follows:

51 Pages of Specification including

1 Title Page

7 Pages of Claims

1 Page(s) of Abstract

12 Sheets of drawings containing 16 Figures

☐ The enclosed drawing(s) are photograph(s), and there is also attached a
PETITION TO ACCEPT PHOTOGRAPH(S) AS DRAWING(S)

3. Combined Declaration and Power of Attorney

☒ Enclosed and is executed by all inventors.

☐ Not Enclosed. This application is being filed under the provisions of 37 C.F.R. § 1.53(f). Applicant(s) await notification from the Patent and Trademark Office of the time set for filing the Declaration and paying the filing fees.

09/737595 U.S. PTO

4. Language

☒ English☐ Non-English

This application is being filed in accordance with 37 C.F.R. ' 1.52(d) and ' 608.01 of the MPEP. Applicant(s) await notification from the Patent and Trademark Office of the time set for filing the verified English translation and the processing fee.

5. Assignment

☒ An assignment of the invention to Powerloom and a PTO Form-1595, Recordation Form Cover Sheet, are enclosed.☐ An assignment will be filed at a later date.

6. Priority - foreign applications under 35 U.S.C. § 119(a)-(d) or § 365(b) or PCT international applications under 35 U.S.C. § 365(a) designating at least one country other than the U.S.

☐ Priority of the following foreign application(s) is claimed:

| Country | Application No. | Filed |
|---------|-----------------|-------|
| | | |
| | | |

Certified copy(ies): ☐ is/are attached. ☐ will follow.

7. Priority based on provisional application(s) - 35 U.S.C. § 119(e)

☐ Priority of the following provisional application(s) is claimed:

| Application No. | Filed |
|-----------------|-------|
| | |
| | |

009121 56646460

8. Relate Back - 35 U.S.C. § 119(e)

- ☐ Amend the specification by inserting before the first line the sentence:
 "This application claims priority of copending provisional application(s)
 No. _____ filed on _____."

9. Small entity status

- ☒ A statement claiming small entity status under 37 C.F.R. §§ 1.9 and 1.27 is enclosed.

10. Fee Calculation (37 C.F.R. § 1.16)

| CLAIMS FOR FEE CALCULATION | | | | |
|---|--------------|--------------|----------------|--|
| | Number Filed | Number Extra | at Rate of | Basic Fee Utility \$710.00 Design \$320.00 |
| Total Claims (37 C.F.R. § 1.16(c)) | 24 - 20 = | 4 | \$ 18.00 each= | + 72.00 |
| Independent Claims (37 C.F.R. § 1.16(b)) | 6 - 3 = | 3 | \$ 80.00 each= | + 240.00 |
| Multiple dependent claim(s), if any (37 C.F.R. § 1.16(d)) | | | \$270.00 | + 0.00 |
| SUB-TOTAL = | | | | 1022.00 |
| Reduction by ½ for filing by a small entity | | | | - \$ 511.00 |
| TOTAL FILING FEE = | | | | \$ 511.00 |

11. Fee Payment

- ☐ Not Enclosed. **NO FEE IS BEING PAID BY CHECK OR DEPOSIT ACCOUNT AT THIS TIME.**
 This application is being filed under the provisions of 37 C.F.R. § 1.53(f).
 Applicant(s) await notification from the Patent and Trademark Office of the time set for filing the Declaration and paying the filing fees.
- ☒ Enclosed. A check in the amount of \$551.00 is enclosed representing the total filing fee due and \$40.00 recordation of assignment fee.

12. [X] **EXCEPT** for issue fees payable under 37 C.F.R. § 1.18, the Commissioner is hereby authorized by this paper to charge any additional fees during the entire pendency of this application including fees due under 37 C.F.R. §§ 1.16 and 1.17 which may be required, including any required extension of time fees, or credit any overpayment to Deposit Account 50-0310. This paragraph is intended to be a **CONSTRUCTIVE PETITION FOR EXTENSION OF TIME** in accordance with 37 C.F.R. § 1.136(a)(3).


13. Additional papers enclosed:

- [] Preliminary Amendment
- [] Information Disclosure Statement
- [] Form PTO-1449, _____ references included
- [] Declaration of Biological Deposit
- [] Submission of "Sequence Listing", computer readable copy and/or amendment pertaining thereto for biotechnology invention containing nucleotide and/or amino acid sequence.

Please accord this application an application number and filing date.

Respectfully submitted,

MORGAN, LEWIS & BOCKIUS LLP



Lesley L. Coulson

Reg. No. 46,642

Dated: December 18, 2000

Customer No. 009629

MORGAN, LEWIS & BOCKIUS LLP

1800 M Street, N.W.

Washington, D.C. 20036-5869

(202) 467-7000

DOCKET # 051672-5001

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**REQUEST AND CERTIFICATION
UNDER
35 U.S.C. 122(b)(2)(B)(i)**

First Named Inventor

Eugene FINK et al.

Title

METHOD AND SYSTEM FOR MULTI-DIMENSIONAL
TRADING

Atty Docket Number

051672-5001

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

12-18-2000

Date

Lesley L Coulson

Signature

Lesley L. Coulson

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**